

**NC DIVISION OF MH/DD/SAS  
CASAWORKS for FAMILIES RESIDENTIAL INITIATIVE  
INDIVIDUAL SPECIFIC MONITORING  
FY 2012/2013**

<b>LME/MCO:</b>	<b>Date:</b>	
<b>Control #:</b>	<b>Record #:</b>	
<b>Contract Provider:</b>	<b>Admission Date:</b>	
<b>Rating Codes: 0 = No 1 = Yes 9 = NA</b>		<b>Rating</b>
1. There is evidence that the woman is at least 18 years of age.		
2. There is evidence that the family, upon admission, was receiving Work First Cash Assistance.		
3. There is evidence that all children in the residence are 11 years of age or under.		
4. There is evidence that the woman has a principal or primary DSM IV-TR (or its successors) diagnosis of substance abuse or dependence.		
5. There is evidence that the individual had a 3.5 ASAM level.		
6. There is evidence that a Person Centered Plan (PCP) was initiated upon admission to the program.		
7. There is evidence that the ESSP (or PCP, if ESSP is not used) is reviewed on at least a monthly basis		
8. There is evidence of a signed release of information, between the county department of social services and the NC CASAWORKS for Families Residential Program, to communicate the client's treatment services.		
9. The release of information meets all the requirements for a valid release: <ul style="list-style-type: none"> <li>a. Name of participant</li> <li>b. Name of program making disclosure</li> <li>c. Name of organization to which disclosure is to be made</li> <li>d. Nature of the information</li> <li>e. Purpose of disclosure</li> <li>f. Revocation Statement</li> <li>g. Expiration date</li> <li>h. Signature of participant</li> <li>i. Date signed</li> </ul>		a.
		b.
		c.
		d.
		e.
		f.
		g.
		h.
		i.
10. There is evidence that a NC TOPPS was completed within the required timeframes <ul style="list-style-type: none"> <li>a. Initial Assessment</li> <li>b. 3 month update</li> <li>c. 6 month update</li> <li>d. 12 month update</li> <li>e. every 6 months thereafter</li> </ul>		a.
		b.
		c.
		d.
		e.
<b>Comments:</b>		
<b>REVIEWER:</b>		

4/29/2013

**NC DIVISION OF MH/DD/SAS**  
**CASAWORKS for Families-Individual Specific**  
**2012/2013**  
**MONITORING GUIDLINES**

**Please ensure that all information at the top of the tool is complete. Admission Date is the date admitted to CASAWORKS Program.**

***\*Note:** For questions (1-4) compliance can be documented by referral information from DSS and/or written documentation from the intake process in the service record. If the individual does not meet the criteria there should be written documentation of an exception to the criteria from the Division MH/DD/SAS.*

**Question #1:** The reviewer will review each service record to determine if the individual is at least 18 years old.

**Question #2:** The reviewer will review each service record to determine if there is evidence that the family, upon admission, was receiving Work First Cash Assistance.

- This may be seen in a letter from DSS or documentation by the Work First Case Manager.
- In some cases (i.e. individual is new to program) the individual may be eligible for Work First but not yet receiving funding. In this case, there should be some documentation from one of the following individuals (Melissa Godwin, Walt Caison, Judith Johnson-Jones, Starleen Scott-Robbins).

**Question #3:** The reviewer will review each service record to determine if there is evidence that all children in residence are age 11 or under (if the child is 12 or older, there needs to be an exception noted from the Best Practice Team).

**Question #4:** The reviewer will review each service record to determine if there is evidence that the woman has a principal or primary DSM IV-TR (or its successors) diagnosis of substance abuse or dependence.

**Question #5:** The reviewer will review the ASAM to determine level.

**Question #6:** The reviewer will review each service record to determine if there is evidence that a Person Centered Plan (PCP) was initiated upon admission to the program. There may also be a CASAWORKS Economic Self-Sufficiency Plan (ESSP), in addition to the PCP but there must be a PCP in place.

**Question #7:** The reviewer will review each service record to determine if there is evidence that the ESSP or PCP is reviewed on at least a monthly basis. If an ESSP is not used, then there must be evidence that the PCP was reviewed on at least a monthly basis. If the review does not include changes to the PCP, additional signatures are not needed. A Case Management note indicating the review was conducted is acceptable.

**Question #8:** The reviewer will review each service record to determine if there is evidence of a signed release of information, between the county department of social services and the NC CASAWORKS for Families Residential Program, to communicate regarding the individual's treatment services. (The county in question here is the county in which the program is based.)

**Question #9:** A valid release of information (meeting the requirements of 42 C.F.R. Part II) will include the following:

- a) Name of service recipient
- b) Name of program making disclosure (i.e. NC CASAWORKS for Families Residential Program)
- c) Name of organization to which disclosure is to be made (i.e. County DSS)
- d) Nature of the information (i.e. Assessment, treatment recommendations and progress)
- e) Purpose of the disclosure (i.e. Work First eligibility)
- f) Revocation Statement
- g) Expiration Date (Time limit of no more than one (1) year with reference to the specific information to be released.)
- h) Signature of participant (i.e. individual's signature)
- i) Date (i.e. date signed by individual)

All elements (a-i) must be present in order to rate this question Yes (1 / MET). If any item is not present, rate the question No (0 / NOT MET).

**Question #10:** The reviewer will review each service record to determine if an NC TOPPS Initial Assessment was completed. An Initial Interview must be completed with the consumer in an in-person interview at the beginning of an episode of care. The Initial Interview should be completed during the first or second treatment visit as part of the development of the consumer's treatment plan. Subsequent updates must be completed within 15 days before or after the due date. The due dates are based upon the day the initial interview was started on the web-based system

- A copy of the NC TOPPS Initial Assessment form should be found in the service record.
- The reviewer should determine when the initial assessment was started and calculate when the 3, 6, and 12 month updates were due (updates after 12 months are every 6 months).
  - ◆ 3 month update: 90 days following initial interview, plus or minus 2 weeks (76-104 days)
  - ◆ 6 month update: 180 days following initial interview, plus or minus 2 weeks (166-194 days)
  - ◆ 12 month update: 360 days following initial interview, plus or minus 2 weeks (346-374 days)
    - 6 month updates thereafter (18, 24, 30, etc. months)
    -

**\*\* The intent of the review is to determine compliance with TOPPS requirements during the current Fiscal Year. If the individual receiving services was admitted on or after July 1, 2012, review initial and all subsequent assessments. If the individual started services prior to July 1, 2012, the reviewer will determine when updates were due during the current fiscal year and evaluate for compliance.**

Rate each element (a-e) 1/MET or 0/NOT MET. If an update is not due, rate the element (b-e) 9/NA. All elements (a-e) must be rated either 1 or 9 for the overall rating to be 1/MET. If any element is rated 0, the overall rating is 0/NOT MET.